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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/008,269	12/10/2001	Sanjay Deshpande	74622-029	2616
21890	7590	08/11/2006	EXAMINER	
PROSKAUER ROSE LLP PATENT DEPARTMENT 1585 BROADWAY NEW YORK, NY 10036-8299			GREIMEL, JOCELYN	
			ART UNIT	PAPER NUMBER
			3693	

DATE MAILED: 08/11/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 10/008,269	<b>Applicant(s)</b> DESHPANDE ET AL.	
	<b>Examiner</b> Jocelyn Greimel	<b>Art Unit</b> 3693	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 10 December 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-32 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-32 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>07/26/02</u> . | 6) <input type="checkbox"/> Other: _____  |

### DETAILED ACTION

1. This communication is in response to Applicant's application filed December 10, 2001. Claims 1-32 are being examined.

#### ***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

- a. **Claims 1-32 are rejected under 35 U.S.C. 102(b) as being anticipated by Mahoney et al (US Patent No. 5,819,271, hereinafter Mahoney).** In reference to claims 1, 31 and 32, Mahoney discloses a method, system and computer program for providing financial services data in a communications network comprising: providing a content management application that defines a hierarchy of nodes including topic nodes arranged by topic, and enables a plurality of different content providers to publish financial services related content by uploading content to specified ones of the nodes via the communications

network; and providing a content display application for displaying the uploaded content on a computerized workstation in the communication network via an on-screen display (col. 3, lines 45-61; col. 4, lines 8-28; col. 5, lines 1-13, col. 6, lines 25-51; col. 7, lines 20-46; col. 12, lines 6-33).

3. In reference to claims 2-30, Mahoney discloses the method:

b. wherein the on-screen display comprises a composite display having respective regions that are reserved for displaying uploaded content from respective ones of the content providers (col. 3, lines 45-61);

c. wherein the content management application enables users to be entitled to access content associated with specific ones of the nodes (col. 4, lines 8-28);

d. wherein the topic nodes are children nodes of a home page node (col. 4, lines 20-67);

e. wherein the content management application enables an administrator to set entitlements for the nodes such that only specified content providers are permitted to upload their content thereto (col. 4, lines 12-67);

f. wherein the content management application enables users of specified platforms to be entitled to access content associated with specific ones of the nodes (col. 4, lines 12-44; col. 5, lines 1-13, col. 6, lines 25-51);

g. wherein the content management application enables assignment of the nodes to a status of staging, live and archived (col. 7, lines 20-46);

- h. wherein a new node is initially assigned the staging status prior to being placed into production; a node is assigned the live status when placed into production; and a node is assigned the archived status when removed from production (col. 7, lines 20-46);
- i. wherein the content management application enables the tagging of content by the associated content provider to denote a required entitlement level thereof (col. 4, lines 12-44; col. 5, lines 1-13, col. 6, lines 25-51; col. 12, lines 6-33);
- j. wherein the hierarchy of nodes includes a home page node (col. 4, lines 8-44);
- k. wherein the hierarchy of nodes includes a report display node that enables control of report classifications for classifying the content that is displayed, and where the report classifications are displayed on-screen (col. 4, lines 8-44);
- l. wherein the hierarchy of nodes includes a report display node that enables control of the content display individually or via a link (col. 4, lines 8-44);;
- m. wherein the hierarchy of nodes includes file nodes to which the content may be uploaded (col. 4, lines 8-44; col. 7, lines 11-46);
- n. wherein the hierarchy of nodes includes function nodes comprising financial-services related topics (col. 4, lines 8-44; col. 7, lines 11-46);
- o. wherein the function nodes comprise pre-established templates for use by the content display application; and display locations of the templates may be managed via the content management application (col. 5, lines 1-13);

- p. wherein the hierarchy of nodes includes related link nodes for providing at least one of internal and external links for the associated content (col. 5, lines 13-67; col. 6, lines 1-11);
- q. wherein the content display application controls access to the topic nodes based on entitlements thereto (col. 6, lines 24-51);
- r. wherein the hierarchy of nodes includes area nodes for content related to at least one of equities and fixed income financial instruments (col. 10, lines 1-48);
- s. wherein the topics hierarchy of nodes includes custom page function nodes for enabling the content providers to create respective customized content pages for display (col. 6, lines 36-51);
- t. wherein the hierarchy of nodes includes a report upload node for defining report classifications to which the content may be uploaded by the content providers (col. 7, lines 20-55);
- u. wherein the content providers are enabled to upload reports to multiple report classifications (col. 7, lines 20-55);
- v. wherein the hierarchy of nodes includes a content edit screen which enables the respective content providers to select files that are uploaded to a spotlight page to feature specific content (col. 4, lines 21-67);
- w. wherein the hierarchy of nodes includes a report management function that allows an administrator to modify meta data associated with uploaded content (col. 6, lines 59-67; col. 7, lines 1-19);

- x. wherein the content management application enables tagging of the uploaded content by the different content providers to indicate a required user entitlement level thereof for viewing the uploaded content on the workstation via the on-screen display (col. 6, lines 41-58);
- y. wherein the content management application enables uploading of content by the content providers via respective computerized workstations in the communications network (col. 4, lines 20-67);
- z. wherein the uploaded content comprises at least statistics, reports and ratings for a financial instrument (col. 10, lines 1-60);
- aa. further comprises providing a search capability via the on-screen display to enable a user to enter a search term, and to perform a search to obtain content in response thereto and specific thereto (col. 5, lines 13-47);
- bb. wherein the search term designates a financial instrument (col. 5, lines 13-47);
- cc. wherein the content obtained via the search is filtered according to an entitlement level of the user of the workstation (col. 5, lines 13-47);
- dd. wherein the content management application enables the content providers to specify links to uploaded content via the on-screen display (col. 4, lines 21-67).

**Conclusion**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jocelyn Greimel whose telephone number is (571) 272-3734. The examiner can normally be reached Monday - Friday 8:30 AM - 4:30 PM EST. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached at (571) 272-6712. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Jocelyn Greimel  
Examiner, Art Unit 3693  
August 2, 2006

  
ELLA COLBERT  
PRIMARY EXAMINER